

01/11/02
jc853 U.S. PTO

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Date of Deposit: January 11, 2002

Attorney Docket No. 24631-501

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FIRST-NAMED INVENTOR OR HARRY A. KAPLAN et al.
APPLICATION IDENTIFIER:

FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL
PRODUCTS OVER A COMPUTER NETWORK

jc821 U.S. PTO
10/043899
01/11/02

January 11, 2002
Boston, Massachusetts

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR FILING A NEW NONPROVISIONAL APPLICATION
UNDER 37 C.F.R. §1.53(b)

1. This is a request for filing a new nonprovisional application under 37 C.F.R. §1.53(b).
2. ☒ Specification and Drawings (Total pages: 64);
Specification (31 pages); Claims (15 pages); Abstract (1 page); and
Drawings: 17 sheets; FIGS. 1-18.
☐ Formal
☒ Informal
3. ☒ Declaration and Power of Attorney
☐ Unsigned
☒ Signed
4. ☐ Information Disclosure Statement (IDS)
☐ Copy of IDS and PTO-1449 (___ pages)
☐ Copies of references cited
5. ☐ Assignment Papers
☐ Recordation Form Cover Sheet (PTO-1595)
☐ Assignment Document
6. ☒ Statement Claiming Small Entity Status
☐ Claiming Small Entity As Independent Inventor (37 C.F.R. §§1.9(f) & 1.27(b)).
☒ Claiming Small Entity As Small Business Concern (37 C.F.R. §§1.9(f) & 1.27(c)).
☐ Claiming Small Entity As Nonprofit Organization (37 C.F.R. §§1.9(f) & 1.27(d)).

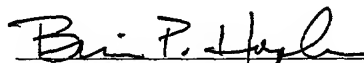
10043899 "01.11.02"

7. Fee Calculation

CLAIMS AS FILED					
Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 C.F.R. 1.16(a) \$740.00
Total Claims (37 C.F.R. 1.16(c))	62	- 20 =	42	\$18.00	\$756.00
Independent Claims (37 C.F.R. 1.16(b))	13	- 3 =	10	\$84.00	\$840.00
Multiple Dependent Claim(s), if any (37 C.F.R. 1.16(d))				\$280.00	
				SUBTOTAL:	\$2336.00
				Reduction by 50% for filing by small entity:	- \$1168.00
				TOTAL FEE:	\$1168.00

8. ☒ A check in the amount of **\$1168.00** is enclosed.
9. ☒ The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 50-0311, Ref. No. 24631-501:
- ☒ Fees required under 37 C.F.R. §1.16;
☒ Fees required under 37 C.F.R. §1.17;
☐ Fees required under 37 C.F.R. §1.18.
10. ☒ Return Receipt Postcard Enclosed.
11. ☐ Other Documents Enclosed:
- ☐ Check for \$ 40.00 for recordation of assignment.

Respectfully submitted,


Brian P. Hopkins, Reg. No. 42,669
Attorney for Applicants
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Dated: January 11, 2002